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PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Unassigned
Total Number of Pages in This Submission	JUN 26 2002	Attorney Docket Number	42390P8098

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<div>Cross-Reference Under 37 CFR §1.78(a)(2) to Related Applications; 7 Cited References</div>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 14, 2002

### CERTIFICATE OF MAILING/TRANSMISSION

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June 14, 2002

Typed or printed name	Corrinn R. Reynolds		
Signature		Date	June 14, 2002

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application Number 09/539,344  
Filing Date March 31, 2000  
First Named Inventor Carl M. Ellison  
Examiner Name Unassigned  
Group/Art Unit 2785  
Attorney/Agent No. 42390P8094

## METHOD OF PAYMENT (check one)

- ☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of the application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims			
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES 2002

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920 *	112	920 *	Requesting publication of SIR prior to Examiner action	
113	1,840 *	113	1,840 *	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)

William W. Schaal

Registration No.  
(Attorney/Agent)

39,018

Telephone

(714) 557-3800

Signature

Date

06/14/02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

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Docket No.: 42390P8098

THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUN 26 2002

TECHNOLOGY CENTER R3700

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a  
Hierarchical Executive Architecture in  
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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JUN 24 2002

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

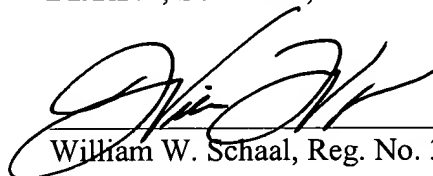
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 14, 2002

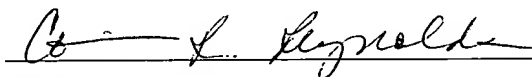


William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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June 14, 2002



**Corinn R. Reynolds**

06-14-02

**Date**

Substitute for Form 1449A/PTO (Modified)  <h2 style="text-align: center; margin: 0;">INFORMATION DISCLOSURE</h2> <h2 style="text-align: center; margin: 0;">STATEMENT BY APPLICANT</h2> <p style="text-align: center; margin: 0;"><i>(use as many sheets as necessary)</i></p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center; padding: 5px;"><i>Complete if Known</i></th> </tr> <tr> <td style="width: 50%; padding: 5px;">Application Number</td> <td style="width: 50%; padding: 5px;">09/538,344</td> </tr> <tr> <td style="padding: 5px;">Filing Date</td> <td style="padding: 5px;">3/31/00</td> </tr> <tr> <td style="padding: 5px;">First Named Inventor:</td> <td style="padding: 5px;">Ellison, et. al</td> </tr> <tr> <td style="padding: 5px;">Group Art Unit</td> <td style="padding: 5px;">2785</td> </tr> <tr> <td style="padding: 5px;">Examiner Name</td> <td style="padding: 5px;">Unassigned</td> </tr> <tr> <td style="padding: 5px;">Attorney Docket Number</td> <td style="padding: 5px;">042390.P8098</td> </tr> </table>		<i>Complete if Known</i>		Application Number	09/538,344	Filing Date	3/31/00	First Named Inventor:	Ellison, et. al	Group Art Unit	2785	Examiner Name	Unassigned	Attorney Docket Number	042390.P8098
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Sheet 1 of 2

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Sheet 1 of 2

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Sheet 1 of 1 Attorney Docket Number 042390.P8098

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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/538,344
Filing Date	3/31/00
First Named Inventor:	Ellison et. al.
Group Art Unit	2785
Examiner Name	Unassigned
Attorney Docket Number	042390.P8098

Sheet 2

042390.P8098

## OTHER ART - NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 - page 1-9, page 1-13- page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
		JOE HEINRICH:"MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
		BERG C: "HOW DO I CREATE A SIGNED APPLETT?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122	
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112	

Examiner  
SignatureDate  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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GP/2285  
2131

Docket No.: 042390.P8098

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/538,344

Filed: March 31, 2000

For: Managing a Secure Platform Using a  
Hierarchical Executive Architecture in  
Isolated Execution Mode

Examiner: Unassigned

Art Group: 2785

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Assistant Commissioner for Patents  
Washington, D.C. 20231

**CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS**

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

(1) A U.S. Patent Application entitled Platform And Method For Remote Attestation Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.

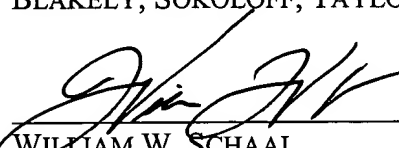
(2) A U.S. Patent Application entitled Generating A Key Hierarchy For Use In An Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: June 14, 2002

  
WILLIAM W. SCHAAL  
Reg. No. 39,018

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

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Corrin R. Reynolds  
6/14/02  
Date